



Mable Lam

Securities Registration Officer, Corporate

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Areas of Expertise

- Securities Regulatory
- Capital Markets
- Mergers and Acquisitions

Mable Lam is a Securities Registration Officer and supports the firm’s Investment Funds and Asset Management practice group and Derivatives practice group. She provides registration and compliance advice to advisers, dealers and investment fund managers. She has over 25 years of extensive experience in preparing applications and obtaining registrations and exemptions for registered and exempt firms with Canadian securities regulators. She has also assisted dealers in becoming members of the Investment Industry Regulatory Organization of Canada (IIROC) and the Mutual Fund Dealers Association of Canada (MFDA), now the Canadian Investment Regulatory Organization (CIRO). Mable is the Chief Authorized Firm Representative on the National Registration Database (NRD) for many registrant clients and handles all types of submissions and filings on NRD.

Credentials

Education

- Mohawk College, Law Clerk Diploma, 1992
- Institute of Law Clerks of Ontario, Securities Law Fellowship Course, 2000
- Chief Compliance Officers Qualifying Exam, 2013
- Partners, Directors and Senior Officers Course, 2013

Languages

- English

Professional Affiliations

- The Institute of Law Clerks of Ontario